

UNITED STATES COURT OF APPEALS
SECOND CIRCUIT
UNITED STATES COURTHOUSE
225 CADMAN PLAZA EAST
BROOKLYN, NEW YORK 11201

August 11, 2011

REENA RAGGI
United States Circuit Judge

Honorable Bobby R. Baldock
Chair, Committee on Financial Disclosure
Administrative Office of U.S. Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

2011 AUG 16 A 10:15
RECEIVED
U.S. COURT OF APPEALS
SECOND CIRCUIT

Re: Revised Disclosure Report for 2010

Dear Judge Baldock,

In response to your letter of July 21, 2011 (Attachment A), my accountant has prepared a revised Financial Disclosure Report for 2010 (Attachments B&C), which I hereby transmit. I apologize for any inconvenience to the Committee.

At the same time, I observe that the need to file this revised report does raise some concern, if even a certified accountant can find it difficult to prepare these reports. Might the Committee (or its staff) provide any guidance for simplifying the process generally or specifically with respect to my report?

Very truly yours,



Reena Raggi

cc: Mr. John M. Towers
Ragovin & Sperber



Raggi, Reena

Attachment A

Rogovin & Sperber, LLP
Attorneys-at-Law

212 - 686 - 4300

August 8, 2011

STANLEY M. ROGOVIN
JEFFREY M. SPERBER

OF COUNSEL:
STEPHEN M. BERNSTEIN
BARRY KAPLAN

Hon. Reena Raggi
United States Courthouse
225 Cadman Plaza East
Brooklyn, NY 11201

Dear Judge Raggi:

Pursuant to our telephone conversation of today, enclosed please find the revised Financial Disclosure Report for the calendar year 2010, along with the letter you received from the Judicial Conference of the United States Committee dated July 21, 2011.

Would you kindly sign the Financial Disclosure Report on page "9" where indicated and mail it in the envelope provided to the Committee on Financial Disclosure, as soon as possible

If you should have any questions, please feel free to call.

Very truly yours,

RO

By

M. M. Towers
x/Accounting Manager

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OFFICE

Attachment C

AO 10
Rev. 1/2011

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2010**

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) RAGGI, REENA	2. Court or Organization U.S. COURT OF APPEALS, 2ND CIR	3. Date of Report 08/08/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES CIRCUIT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address U.S. COURTHOUSE 225 CADMAN PLAZA EAST BROOKLYN, NY 11201	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts,
checking the NONE box for each part where you have no reportable information. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. MEMBER, JUDICIAL ADVISORY BOARD	GEORGE MASON SCHOOL OF LAW, CENTER FOR LAW AND ECONOMICS
2. MEMBER, PARISH COUNCIL	CHURCH OF THE ASSUMPTION, BROOKLYN NEW YORK
3. TRUSTEE	WILLIAM NELSON CROMWELL FOUNDATION
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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OFFICE

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

RAGGI, REENA

Date of Report

08/08/2011

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2010	NEW YORK UNIVERSITY LAW SCHOOL - SALARY	\$26,550.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	UNIVERSITY OF PENNSYLVANIA LAW SCHOOL	01/28/2010	PHILADELPHIA, PA	MOOT COURT	HOTEL AND MEAL
2.	FEDERAL BAR COUNCIL	02/21/2010-03/01/2010	KONA, HI	PROFESSIONAL MEETING	AIRFARE, HOTEL AND MEALS
3.	FRIENDS OF HEBREW UNIVERSITY	03/10/2010-03/19/2010	JERUSALEM, ISRAEL	PROFESSIONAL MEETING	AIRFARE, HOTEL AND MEALS
4.	NEW YORK STATE BAR ASSOCIATION	05/22/2010-05/23/2010	BOLTON LANDING, NY	PROFESSIONAL MEETING	HOTEL AND MEALS
5.					

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

RAGGI, REENA

Date of Report

08/08/2011

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

RAGGI, REENA

Date of Report

08/08/2011

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. CITIBANK PREFERRED MONEY MARKET ACCOUNT(MMP)	A	Interest	K	T					
2. CITIBANK CHECKING ACCOUNT	A	Interest	J	T					
3. CITI NEW YORK TAX FREE RESERVE MMF - R	A	Interest	M	T					
4. CITIGROUP GLOBAL MKTS INC ACCOUNT NO.1 - R									
5. -U.S. TREASURY NOTES SER R 2011 DTD 01/02/2007	E	Interest	O	T					
6. -NEW YORK ST URBAN DEV CORP REV RFDG-FSA BK/ENT DTD 1/1/94	D	Interest	M	T					
7. -CORPORATE BOND - GENERAL ELEC CAP CORP DTD-3/06/2008	B	Interest	L	T					
8. -NEW YORK CITY G/O SER I DD 04/01/04 F/C 8/1/04	C	Interest	M	T					
9. -NEW YORK N Y GENL OBLIG BDS-G-B/E DD 01/03/2008	C	Interest	L	T					
10. -CERTIFICATE OF DEPOSIT	A	Interest			Matured	06/01/10	L		
11. -NEW YORK CITY G/O SER M DD 4/28/05 F/C 10/1/05	C	Interest	M	T					
12. -NEW YORK ST DORM AUTH ST PERS INCOME TAX REV ED-A-B/E	C	Interest	M	T					
13. - NY ST THRUWY AUTH ST PERS INCM TX REV BDS-B/E DD 9/10/08	C	Interest	M	T					
14. GREENWICH ST.EMPLOYEES FUND		None	J	U					
15. CITI PERSONAL WEALTH RETIREMENT PLANS-IRA									
16. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T					
17. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	E	Interest	M	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

08/08/2011

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. -COCA COLA ENETRPRISE INC NOTES-ZERO CPN CORPORATE BONDS	D	Interest	M	T					
19. -BERKSHIRE HATHAWAY INC DTD 04/29/04 CORPORATE BONDS	D	Interest	M	T					
20. MORGAN STANLEY SMITH BARNEY IRA ROLLOVER ACCOUNT									
21. -MORGAN STANLEY BANK N.A.	A	Interest	K	T					
22. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
23. -VANGUARD TOTAL BOND MARKET	C	Dividend	L	T					
24. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend	L	T					
25. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T	Buy	02/04/10	K		
26. -PRIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
27. -VIRTUS MILTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	T					
28. -TEMPLETON GLOBAL BD FD A	B	Dividend	K	T	Buy	02/04/10	K		
29. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T	Buy	02/04/10	K		
30. MORGAN STANLEY SMITH BARNEY BROKERAGE ACCOUNT									
31. -MORGAN STANLEY BANK N.A.	A	Interest	M	T					
32. -NEW YORK N Y CITY TRANS FIN AUTH BLDG AID REV MUNI BONDS	B	Interest	K	T					
33. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BOND	B	Interest	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

08/08/2011

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
34. -NEVADA ST MUNI BD BK MUNI BOND	B	Interest	K	T					
35. -CALIFORNIA ST GENL OBLIG MUNI BONDS	B	Interest	K	T					
36. -NEW YORK N T GENL OBLIG SER-O MUNI BONDS	B	Interest	L	T					
37. -NEW YORK ST URBAN DEV CORP EMP IRE ST DEV CORP SVC MUNIS	B	Interest	L	T					
38. -NEW YORK N Y GENL OBLIG SER D MUNI BONDS	B	Interest	L	T					
39. -LONG ISLAND PWR AUTH N Y ELEC SYS REV-A MUNI BONDS	B	Interest	K	T					
40. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BONDS	B	Interest	K	T					
41. -AMERICAN EXPRESS CREDIT CO CORPORATE BONDS	B	Interest	K	T					
42. -GOLDMAN SACHS GROUP INC CORPORATE BONDS	B	Interest	K	T					
43. -MORGAN STANLEY CORPORATE BONDS	B	Interest	K	T					
44. -WACHOVIA CORP CORPORATE BONDS	B	Interest	K	T					
45. -CALVERT SHORT DURATION INC C MUTUAL FUNDS	B	Dividend	K	T					
46. -DRYDEN SH TRM CORP BD C MUTUAL FUNDS	B	Dividend	K	T					
47. -VIRTUS MULTI-SECTOR S/T BD T MUTUAL FUNDS	B	Dividend	K	T					
48. -WELLS FARGO SHT TRM MUNI BD C MUTUAL FUNDS	B	Dividend	L	T					
49. -TRIBOROUGH BRDG & TUNL AUTH NY REVS SER-A	B	Interest	K	T	Buy	09/27/10	K		
50. -OPPENHEIMER LTD TERM NY MUNI C	B	Interest	K	T	Buy	03/29/10	K		

1. Income Gain Codes:
(See Columns B1 and D4)

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2. Value Codes
(See Columns C1 and D3)

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O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

08/08/2011

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ **NONE** (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
51. CHARLES SCHWAB & CO INC CUST IRA ROLLOVER	A	Interest			Closed	01/31/10	L		

1. Income Gain Codes:
(See Columns B1 and D4)A =\$1,000 or less
F =\$50,001 - \$100,000B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000D =\$5,001 - \$15,000
H2 =More than \$5,000,000

E =\$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)J =\$15,000 or less
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P3 =\$25,000,001 - \$50,000,000K =\$15,001 - \$50,000
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P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,0003. Value Method Codes
(See Column C2)Q =Appraisal
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T =Cash Market

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting**RAGGI, REENA****Date of Report****08/08/2011****VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of report.)*

1)PART VII, PAGE 7. LINE #51: THIS ACCOUNT WAS CLOSED IN JANUARY, 2010 AND ALL PROCEEDS WERE ROOLOVER TO MORGAN STANLEY SMITH BARNEY IRA ROLLOVER ACCOUNT ON LINE #20.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

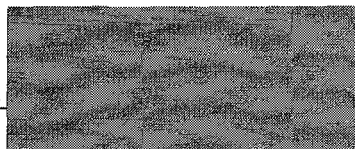
08/08/2011

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



8/11/11

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

1. Person Reporting (last name, first, middle initial) RAGGI, REENA	2. Court or Organization U.S. COURT OF APPEALS, 2ND CIR	3. Date of Report 05/01/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES CIRCUIT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address U.S. COURTHOUSE 225 CADMAN PLAZA EAST BROOKLYN, NY 11201	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

IMPORTANT NOTES: *The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.*

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. MEMBER, JUDICIAL ADVISORY BOARD	GEORGE MASON SCHOOL OF LAW, CENTER FOR LAW AND ECONOMICS
2. MEMBER, PARISH COUNCIL	CHURCH OF THE ASSUMPTION, BROOKLYN NEW YORK
3. TRUSTEE	WILLIAM NELSON CROMWELL FOUNDATION
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒	NONE (No reportable agreements.)
<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

RAGGI, REENA

Date of Report

05/01/2011

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2010	NEW YORK UNIVERSITY LAW SCHOOL - SALARY	\$26,550.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	UNIVERSITY OF PENNSYLVANIA LAW SCHOOL	01/28/2010	PHILADELPHIA, PA	MOOT COURT	HOTEL AND MEAL
2.	FEDERAL BAR COUNCIL	02/21/2010-03/01/2010	KONA, HI	PROFESSIONAL MEETING	AIRFARE, HOTEL AND MEALS
3.	FRIENDS OF HEBREW UNIVERSITY	03/10/2010-03/19/2010	JERUSALEM, ISRAEL	PROFESSIONAL MEETING	AIRFARE, HOTEL AND MEALS
4.	NEW YORK STATE BAR ASSOCIATION	05/22/2010-05/23/2010	BOLTON LANDING, NY	PROFESSIONAL MEETING	HOTEL AND MEALS
5.					

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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05/01/2011

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

NONE (No reportable gifts.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

NONE (No reportable liabilities.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. CITIBANK PREFERRED MONEY MARKET ACCOUNT(MMP)	A	Interest	K	T					
2. CITIBANK CHECKING ACCOUNT	A	Interest	J	T					
3. CITI NEW YORK TAX FREE RESERVE MMF - R	A	Interest	M	T					
4. CITIGROUP GLOBAL MKTS INC ACCOUNT NO.1 - R									
5. -U.S. TREASURY NOTES SER R 2011 DTD 01/02/2007	E	Interest	O	T					
6. -NEW YORK ST URBAN DEV CORP REV RFDG-FSA BK/ENT DTD 1/1/94	D	Interest	M	T					
7. -CORPORATE BOND - GENERAL ELEC CAP CORP DTD-3/06/2008	B	Interest	L	T					
8. -NEW YORK CITY G/O SER I DD 04/01/04 F/C 8/1/04	C	Interest	M	T					
9. -NEW YORK N Y GENL OBLIG BDS-G-B/E DD 01/03/2008	C	Interest	L	T					
10. -CERTIFICATE OF DEPOSIT					Matured	06/01/10	L		
11. -NEW YORK CITY G/O SER M DD 4/28/05 F/C 10/1/05	C	Interest	M	T					
12. -NEW YORK ST DORM AUTH ST PERS INCOME TAX REV ED-A-B/E	C	Interest	M	T					
13. - NY ST THRUWY AUTH ST PERS INCM TX REV BDS-B/E DD 9/10/08	C	Interest	M	T					
14. GREENWICH ST.EMPLOYEES FUND									
15. CITI PERSONAL WEALTH RETIREMENT PLANS-IRA									
16. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	D	Interest	M	T					
17. -GENERAL ELECTRIC CAPITAL CORP CORPORATE BONDS	E	Interest	M	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

E = \$15,001 - \$50,000
T = Cash Market

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

05/01/2011

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. -COCA COLA ENETRPRISE INC NOTES-ZERO CPN CORPORATE BONDS	D	Interest	M	T					
19. -BERKSHIRE HATHAWAY INC DTD 04/29/04 CORPORATE BONDS	D	Interest	M	T					
20. MORGAN STANLEY SMITH BARNEY IRA ROLLOVER ACCOUNT									
21. -MORGAN STANLEY BANK N.A.	A	Interest	K	T					
22. -ISHARES BARCLAYS 1-3 YEARS CRED SHORT TERM BOND FUND	B	Dividend	L	T					
23. -VANGUARD TOTAL BOND MARKET	C	Dividend	L	T					
24. -CALVERT SHORT DURATION INC A MUTUAL FUNDS	B	Dividend	L	T					
25. -DELAWARE LTD-TERM DIVERS INC A MUTUAL FUNDS	B	Dividend	L	T	Buy	02/04/10	K		
26. -PRIMCO TOTAL RETURN A MUTUAL FUNDS	B	Dividend	L	T					
27. -VIRTUS MULTI-SECTOR S/T BD A MUTUAL FUNDS	C	Dividend	L	T					
28. -TEMPLETON GLOBAL BD FD A	B	Dividend	K	T	Buy	02/04/10	K		
29. -TEMPLETON GLOBAL TOTAL RET A	B	Dividend	K	T	Buy	02/04/10	K		
30. MORGAN STANLEY SMITH BARNEY BROKERAGE ACCOUNT									
31. -MORGAN STANLEY BANK N.A.	A	Interest	M	T					
32. -NEW YORK N Y CITY TRANS FIN AUTH BLDG AID REV MUNI BONDS	B	Interest	K	T					
33. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BOND	B	Interest	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A=\$1,000 or less
F=\$50,001 - \$100,000

B=\$1,001 - \$2,500
G=\$100,001 - \$1,000,000

C=\$2,501 - \$5,000
H1=\$1,000,001 - \$5,000,000

D=\$5,001 - \$15,000
H2=More than \$5,000,000

E=\$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J=\$15,000 or less
N=\$250,001 - \$500,000
P3=\$25,000,001 - \$50,000,000

K=\$15,001 - \$30,000
O=\$500,001 - \$1,000,000

L=\$50,001 - \$100,000
P1=\$1,000,001 - \$5,000,000
P4=More than \$50,000,000

M=\$100,001 - \$250,000
P2=\$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q=Appraisal
U=Book Value

R=Cost (Real Estate Only)
V=Other

S=Assessment
W=Estimated

T=Cash Market

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

05/01/2011

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
34. -NEVADA ST MUNI BD BK MUNI BOND	B	Interest	K	T					
35. -CALIFORNIA ST GENL OBLIG MUNI BONDS	B	Interest	K	T					
36. -NEW YORK N T GENL OBLIG SER-O MUNI BONDS	B	Interest	L	T					
37. -NEW YORK ST URBAN DEV CORP EMP IRE ST DEV CORP SVC MUNIS	B	Interest	L	T					
38. -NEW YORK N Y GENL OBLIG SER D MUNI BONDS	B	Interest	L	T					
39. -LONG ISLAND PWR AUTH N Y ELEC SYS REV-A MUNI BONDS	B	Interest	K	T					
40. -ALBANY N Y INDL DEV AGY CIVIC FAC REV MUNI BONDS	B	Interest	K	T					
41. -AMERICAN EXPRESS CREDIT CO CORPORATE BONDS	B	Interest	K	T					
42. -GOLDMAN SACHS GROUP INC CORPORATE BONDS	B	Interest	K	T					
43. -MORGAN STANLEY CORPORATE BONDS	B	Interest	K	T					
44. -WACHOVIA CORP CORPORATE BONDS	B	Interest	K	T					
45. -CALVERT SHORT DURATION INC C MUTUAL FUNDS	B	Dividend	K	T					
46. -DRYDEN SH TRM CORP BD C MUTUAL FUNDS	B	Dividend	K	T					
47. -VIRTUS MULTI-SECTOR S/T BD T MUTUAL FUNDS	B	Dividend	K	T					
48. -WELLS FARGO SHT TRM MUNI BD C MUTUAL FUNDS	B	Dividend	L	T					
49. -TRIBOROUGH BRDG & TUNL AUTH NY REVS SER-A	B	Interest	K	T	Buy	09/27/10	K		
50. -OPPENHEIMER LTD TERM NY MUNI C	B	Interest	K	T	Buy	03/29/10	K		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

05/01/2011

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
51.									

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
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P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
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R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

FINANCIAL DISCLOSURE REPORT
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Name of Person Reporting

RAGGI, REENA

Date of Report

05/01/2011

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RAGGI, REENA

Date of Report

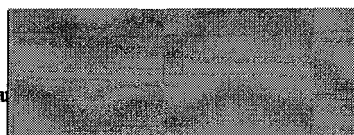
05/01/2011

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



5/5/11

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544